



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/888,971	06/25/2001	Newel L. Stephens	1067-261/GIP-302/AJU

CONFIRMATION NO. 1409

## FORMALITIES LETTER



\*OC000000006441919\*

Woodard, Emhardt, Naughton, Moriarty and McNett  
Bank One Center/Tower  
111 Monument Circle, Suite 3700  
Indianapolis, IN 46204-5137

Date Mailed: 08/17/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/04/2001 MAHME1 00000091 09888971

01 FC:105

130.00 OF



1062/261 AJU:140069

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of: ) Before the Examiner  
Applicant: STEPHENS ET AL. ) Not Yet Assigned  
Serial No.: 09/888,971 ) Group Art Unit 2875  
Filed: June 25, 2001 )  
TITLE: LIGHT EMITTING DIODE LICENSE )  
LAMP WITH REFLECTOR ) August 28, 2001

**REQUEST FOR CORRECTED FILING RECEIPT**

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

Please correct the Official Filing Receipt in the above-referenced application as follows:

In the **Applicant(s)** section of the filing receipt replace "Residence Not Provided" with --  
Madison, Indiana-- in lieu thereof for both inventors listed.

This correction is being requested concurrent with the filing of the Response to Notice to  
File Missing Parts and therefore no fee is due. A copy of the filing receipt with the requested  
correction is noted in red and attached for your reference.

I hereby certify that this correspondence is being  
deposited with the United States Postal Service  
as first class mail in an envelope addressed to  
the Assistant Commissioner for Patents,  
Washington, D.C. 20231 on August 28, 2001.

Arthur J. Usher IV  
Name of Registered Representative

Arthur J. Usher IV  
Signature

August 28, 2001  
Date of Signature

Respectfully submitted

By: Arthur J. Usher IV  
Arthur J. Usher IV  
Reg. No. 41,359  
Woodard, Emhardt, Naughton,  
Moriarty & McNett  
Bank One Center/Tower  
111 Monument Circle, Suite 3700  
Indianapolis, Indiana 46204-5137  
(317) 634-3456



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/888,971	06/25/2001	2875	1024	1067- 261/GIP- 302/AJU	7	33	4

CONFIRMATION NO. 1409

## FILING RECEIPT



\*OC00000006441918\*

Woodard, Emhardt, Naughton, Moriarty and McNett  
Bank One Center/Tower  
111 Monument Circle, Suite 3700  
Indianapolis, IN 46204-5137

Date Mailed: 08/17/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Newel L. Stephens, ~~Residence Not Provided,~~Timothy W. Brooks, ~~Residence Not Provided,~~*Madison, Indiana*

Domestic Priority data as claimed by applicant

## Foreign Applications

If Required, Foreign Filing License Granted 08/17/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

## Title

Light emitting diode license lamp with reflector

## Preliminary Class

362

RECEIVED

AUG 24 2001

Woodard, Emhardt, Naughton,  
Moriarty & McNett

**Date:** 08/17/2001

1 JANUARY 1961 FEBRUARY 1961 MARCH 1961 APRIL 1961 MAY 1961 JUNE 1961 JULY 1961 AUGUST 1961 SEPTEMBER 1961 OCTOBER 1961 NOVEMBER 1961 DECEMBER 1961

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



1067-261 AJT 140024

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of: ) Before the Examiner (Unknown)  
Newel L. Stephens et al. )  
Filed: June 25, 2001 ) Group Art Unit 2875  
Serial No.: 09/888,971 )  
LIGHT EMITTING DIODE LICENSE ) Our Ref.: 1067-261  
LAMP WITH REFLECTOR ) August 28, 2001

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

**BOX MISSING PARTS**

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Sir:

In response to the Notice to File Missing Parts of Non-Provisional Application mailed August 17, 2001, please find the enclosed executed Declaration/Power of Attorney form and a check for the surcharge amount of \$130.00 as set forth in 37 CFR 1.16(e) for a large entity. Also enclosed is a Request for Corrected Filing Receipt along with a copy of the filing receipt with corrections noted in red. Any additional necessary fees may be charged to or overpayment credited to Deposit Account No. 23-3030, but not to include payment of issue fees.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on

August 28, 2001

(Date of Deposit)

Arthur J. Usher IV

Name of Registered Representative

*Arthur J. Usher IV*

Signature

August 28, 2001

Date of Signature

Respectfully Submitted,

By: *Arthur J. Usher IV*

Arthur J. Usher IV  
Reg. No. 41,359  
Woodard, Emhardt, Naughton,  
Moriarty & McNett  
Bank One Center/Tower  
111 Monument Circle, Suite 3700  
Indianapolis, Indiana 46204-5137  
(317) 634-3456

# **FEE TRANSMITTAL** **FOR FY 2001**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number **09/888,971**  
 Filing Date **June 25, 2001**  
 First Named Inventor **Stephens, et al.**  
 Group Art Unit **2875**  
 Examiner Name **Not Yet Assigned**  
 Attorney Docket Number **1067-261/GIP-302/AJ**

Total Amount of Payment **(\$)** 130.00**METHOD OF PAYMENT**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number

**23-3030**

Deposit Account Name

**Woodard, Emhardt, Naughton, Moriarty & McNett**

☐ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27.

2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility Filing Fee	
106	320	206	160	Design Filing Fee	
107	490	207	245	Plant Filing Fee	
108	710	208	355	Reissue Filing Fee	
114	150	214	75	Provisional Filing Fee	
<b>SUBTOTAL (1)</b>					<b>(\$)</b> 0.00

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee From Below	Fee Paid
20** =		X	
Independent Claims	3** =	X	
Multiple Dependent			

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b> (\$) 0.00				

\*\*or number previously paid, if greater. For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	239	130	Non-English specification	
147	2,520	247	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	212	920*	Requesting publication of SIR prior to Examiner	
113	1,840*	213	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	238	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	222	130	Petitions to the Commissioner	
123	50	223	50	Petitions related to provisional applications	
126	180	226	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	269	900	Request for expedited examination of a design application	

Other Fee (specify)

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) 130.00**SUBMITTED BY**

Name (Print/Type)

**Arthur J. Usher IV**Registration No.  
(Attorney/Agent)**41 359**

Telephone

**(317) 634-3456**

Signature

*Arthur J. Usher IV**August 28, 2001*

Date

**August 28, 2001**

Warning: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.